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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/758,295	01/15/2004	Masami Kashiwazaki	CANO:114	5169
37013 7590 11/21/2008 ROSSI, KIMMS & McDOWELL LLP. 20609 Gordon Park Square, Suite 150 Ashburn, VA 20147				
EXAMINER				
ZHU, RICHARD Z				
ART UNIT		PAPER NUMBER		
2625				
MAIL DATE		DELIVERY MODE		
11/21/2008		PAPER		

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

### Office Action Summary

**Application No.**

10/758,295

**Applicant(s)**

KASHIWAZAKI, MASAMI

**Examiner**

RICHARD Z. ZHU

**Art Unit**

2625

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 29 August 2008.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-3,5 and 8-14 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3,5 and 8-14 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-850)
- 4) ☐ Interview Summary (PTO-413)
- 5) ☐ Notice of Inventor's Patent Application
- 6) ☐ Other: \_\_\_\_\_
- Paper No(s)/Mail Date 5/5/2008 and 10/29/2008

## DETAILED ACTION

### *Acknowledgement*

1. Acknowledgement is made of applicant's amendment made on 08/29/2008. Applicant's submission filed has been entered and made of record.

### *Status of the Claims*

2. Claims 1-3, 5, and 8-14 are pending. Claims 1, 11-12, and 14 are currently amended. Claims 4 and 6-7 are cancelled.

### *Response to Applicant's Arguments*

3. In consideration of the newly amended limitations, previous grounds of rejections are vacated in favor of new grounds of rejection upon further search and consideration.

### *Claim Rejections - 35 USC § 103*

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.
5. Claims 1, 5, and 9-14 are rejected under 35 USC 103 (a) as being unpatentable over *Ramsay et al.* (US 5502576 A) in view of *Kuzma* (US 5781901 A) and *Larky et al.* (US 6970908 B1).

**Regarding Claims 1, 11 and 12, Ramsay** discloses a document management system comprising:

a host computer (**Figure 1, Terminal 14. Col 25, Rows 35-36**);

an image information processing apparatus (**Col 25-26, see specifics below**);

a document management server that manages electronic document data (**Fig 1, Electronic Image Server 30 + Mass Storage 34. Col 26, Rows 20-30**);

and a network that connects said host computer (**Fig 1, Network 12 and High Speed Network 28. Col 25, Rows 38-44**), said image information processing apparatus, and said document management server to each other (**Col 25, Rows 64 - Col 26, Row 4**);

and wherein said image information processing apparatus comprises:

an image information reading device that reads image information (**Col 25, Rows 40-42. Fig 1, Digital Capture 18 and Analog Capture 32**);

a searching device that searches the electronic document data within said document management server for an original electronic document data file corresponding to the read image information (**Col 26, Rows 37 - 41. Fig 1, Mainframe 16 and Mass Storage 34. It appears that the user manually search the database**);

a notifying device that notifies or transmits a result of search by said searching device (**Col 26, Rows 41 - 49. Process of notification is achieved when Terminal 14 receives the image documents from Mass Storage 34, per user's request**);

an operating section that displays a result of a search by said searching device (**Col 26, Rows 49-50, LCD projection screen for displaying retrieved images, see Col 26, Rows 48-49**);

and a setting device that sets, based on a user operation, whether or not electronic notification is automatically executed (**Col 26, Rows 41-49, automatic retrieval and**

**therefore notification is performed base on a user operation. That is, if the user decides not to issue a retrieve command, no notification is send by the server).**

*Ramsay* does not disclose the notifying device which communicates with the user via email, attaching the search results to the email, and search information indicative of the locations of the search results within the database.

*Kuzma* discloses a client/server system in which communication such as file transfer between nodes are facilitated by emails with attachments (**Fig 1 and see Col 2, Rows 25-55 and Col 4, Rows 50-64**) comprising a setting device at a receiving node (**Col 2, Rows 29-31, each of the nodes is a computer comprising a processor implementing the functions of setting via mouse and keyboard**) that sets, based on a user operation (**Col 5, Rows 45-50, the user at the recipient side decides whether or not to view an actual attachment of file that is associated by reference to a received email**), whether or not a searched original electronic document data file is to be attached to an electronic mail notification (**Col 6, Rows 40-53, the user decides whether or not as if an attachment is to be attach to the original email by value rather than by reference**) and whether or not the electronic mail notification is automatically executed (**Col 4, Rows 49-54 and Col 5, Rows 45-50, user desired automatic notification of attaching attachments by value or by reference**); and an operating section that displays a result of a search by said searching device (**Col 4, Rows 1-28, a graphical interface implemented by a computer for allowing users to view information and thus allow further search and retrieval**), including a first option for transmitting the result of the search as an electronic mail notification with the searched original electronic document data file (**Col 6, Rows 40-60, if a user chooses to view an**

**attachment, he/she has the option to access attachment reference 402 just as if attachment 520 had originally been attached by value to email message 401.**

**Attachment by value means attachment is actually attach to the original email message, see Col 5, Rows 1-15) and a second option for transmitting the result of the search as an electronic mail notification without the searched original electronic document data file (Col 5, Rows 1-15 and Rows 45-50, if a user chooses not to view email attachment as suggested in Col 4, Rows 49-64, then the email is in its default setting of referencing an attachment by reference via attachment reference 402 and hence the actual attachment 420 is not transmitted along with the email);**

**a notifying device that transmits the result of the search by a searching device (Col 4, Rows 15-20, a searching device implemented by computer to search over the internet for files) as an electronic mail to an electronic mail address when said setting device sets that the electronic mail notification is automatically executed (Col 5, Rows 1-15, sending notification by email with attachment by reference only) or when one of the first or second option displayed in said operating section is operated by a user (Col 5, Rows 45-50, sending notification by email with attachment by reference or by value on the basis of user preference, see also Col 6, Rows 40-52), the result of search including information indicative of a location where the searched original electronic document data is stored (Col 5, Rows 10-15, attachment reference 402 contains a pointer indicative of the actual location of searched file over the internet),**

**wherein the searched original electronic document data file is attached to the electronic mail to be transmitted file by said notifying device when said setting device sets**

that the searched original electronic document data file is to be attached or when the first option is operated by the user (**Col 6, Rows 40-52, attachment by value as if the attachment has been attached to the original email message for all practical effect, function, or purpose**), and

wherein no file corresponding to the searched original electronic document data file is attached to the electronic mail to be transmitted by said notifying device when said setting device sets that the searched original electronic document data file is not to be attached or when the second button is operated by the user (**Col 5, Rows 1-15 and Rows 45-50, if the user opt not to view the attachment, then the actual attachment 420 is never attach to the email since reference attachment 402 is not the actual attachment 420**).

*Kuzma* suggested that electronic mails are common form of electronic interaction between users at different physical locations over a client/server network connected by internet (**Col 1, Rows 12-20**) wherein said network is use for searching and retrieval of files (**Col 4, Rows 1-28**). Therefore, it would've been obvious to one of ordinary skill in the art at the time of the invention to modify the notifying device of *Ramsay* to transmit notifications in the form of electronic mail and for transmission of retrieved files by attachment to electronic mail as taught by *Kuzma* whereas the motivation would've been to prevent inefficient utilization of network bandwidth and needless consuming processing and communication resources (*Kuzma*, **Col 4, Rows 49-64**). Thus, it would've been obvious to combine *Ramsay* and *Kuzma* into a single teaching.

The combined teaching does not disclose the first option of attachment by value and the second option of attachment by reference is implemented in a graphical interface in the form of electronic buttons or a first button and a second button.

*Larky* discloses a graphical user interface for implementing electronic mail communication over internet (**Abstract and see Fig 2D**) having a first button for attaching a file to an email (**Fig 2D, Attach 214C**) and a second button for transmitting the email without attachment if the first button is not operated by a user (**Fig 2D, Send 214B**).

It would've been obvious to one of ordinary skill in the art at the time of the invention to modify the graphical user interface of *Kuzma* (Col 4, Rows 1-28) and thus the combined teaching in the mode of *Larky* as shown in at least Fig 2D to have an attachment button and a send button to ensure an iconic representation of physical operation to be implemented by computer that is to be shown to an user so that he/she may be able to send an email with an attachment that is either by value or by reference.

**Regarding the program stored on a computer readable medium, *Kuzma*** discloses a programmable processor implementing instructions from an email application program stored in a hardware computer (*Kuzma*, Col 3, Rows 5-43) for facilitating the operation of the client/server network that can be used to modify the program of *Ramsay* that is implemented on a computer for performing the functions of search and retrieval (*Ramsay*, Col 25, Rows 44-50).

**Regarding Claim 5, *Ramsay*** discloses wherein said notifying device displays the result of search in said operating section (Column 25, Rows 49 through 50, the computers



**14 has raster display or LCD projection screens. Column 26, Rows 49 through 50, the operator may process the retrieved image as desired).**

Regarding Claim 9, *Ramsay* discloses wherein said image information processing apparatus further comprises:

a printing device (**Column 25, Row 43**); and

a controller operable when the original electronic document data file corresponding to the read image information is present within said document management server (**Column 26, Rows 44 through 49**), to cause said printing device to print the original electronic document data file (**Column 26, Rows 49 through 50. The operator, in this case, is the one to issue commands to the system and dictates its method of processing the retrieved image document. Therefore, the operator serves as the controller**).

Regarding Claim 10, *Ramsay* discloses wherein said image information processing apparatus comprises:

a storage device (**Column 25, Rows 64 through 67, mass storage device 34**); and

a controller operable when the original electronic document data file corresponding to the electronic document data within the read image information is present within said document management server, to provide control to store data obtained by rendering the original electronic document data in said storage device (**Column 26, Row 55 through Column 27, Row 8**).

*Ramsay* discloses wherein the user operation is executed via an external computer (**Fig 1, Terminal 14**) that is connected via the network to the image information processing apparatus (**Fig 1, Digital Capture 18, Analog Capture 32, Output 20**).

*Ramsay* does not disclose that it is done via a web browser.

*Kuzma* discloses a web browser (**Col 4, Rows 14-20**) for allowing user operation to be executed via external computer that is connected via the network to a recipient node (**Fig 1**).

For the same reasons stated in the rejections above, it would've been obvious to one of ordinary skill in the art at the time of the invention to modify *Ramsay* with a web browser of *Kuzma* to allow users to view, search, and retrieval desired files over a network.

**Regarding Claim 14, *Ramsay* discloses an image information processing apparatus connected via a network system to a document management server that manages electronic document data (Fig 1, connection via remote LAN Network 12 of a client computer Terminal 14 with Electronic Image Server 30), the image processing apparatus comprising:**

a searching unit that searches the electronic document data within said document management server for an original electronic document data file corresponding to the read image information (**Col 26, Rows 37 - 41. Fig 1, Mainframe 16 and Mass Storage 34. It appears that the user manually search the database**);

a setting unit that sets, based on a user operation, whether or not electronic notification is automatically executed (**Col 26, Rows 41-49, automatic retrieval and therefore notification is performed base on a user operation. That is, if the user decides not to issue a retrieve command, no notification is send by the server**).

an operating unit that displays a result of a search by said searching device (Col 26, Rows 49-50, LCD projection screen for displaying retrieved images, see Col 26, Rows 48-49);

a transmitting unit that transmits a result of search by said searching device (Col 26, Rows 41 - 49. Process of notification is achieved when Terminal 14 receives the image documents from Mass Storage 34, per user's request).

*Ramsay* does not disclose the notifying device which communicates with the user via email, attaching the search results to the email, and search information indicative of the locations of the search results within the database.

*Kuzma* discloses a client/server system in which communication such as file transfer between nodes are facilitated by emails with attachments (Fig 1 and see Col 2, Rows 25-55 and Col 4, Rows 50-64) comprising a setting unit at a receiving node (Col 2, Rows 29-31, each of the nodes is a computer comprising a processor implementing the functions of setting via mouse and keyboard) that sets, based on a user operation (Col 5, Rows 45-50, the user at the recipient side decides whether or not to view an actual attachment of file that is associated by reference to a received email), whether or not a searched original electronic document data file is to be attached to an electronic mail notification (Col 6, Rows 40-53, the user decides whether or not as if an attachment is to be attach to the original email by value rather than by reference) and whether or not the electronic mail notification is automatically executed (Col 4, Rows 49-54 and Col 5, Rows 45-50, user desired automatic notification of attaching attachments by value or by reference); and

an operating unit that displays a result of a search by said searching device (Col 4, Rows 1-28, **a graphical interface implemented by a computer for allowing users to view information and thus allow further search and retrieval**), including a first option for transmitting the result of the search as an electronic mail notification with the searched original electronic document data file (Col 6, Rows 40-60, **if a user chooses to view an attachment, he/she has the option to access attachment reference 402 just as if attachment 520 had originally been attached by value to email message 401. Attachment by value means attachment is actually attach to the original email message, see Col 5, Rows 1-15**) and a second option for transmitting the result of the search as an electronic mail notification without the searched original electronic document data file (Col 5, Rows 1-15 and Rows 45-50, **if a user chooses not to view email attachment as suggested in Col 4, Rows 49-64, then the email is in its default setting of referencing an attachment by reference via attachment reference 402 and hence the actual attachment 420 is not transmitted along with the email**);

a transmitting unit that transmits the result of the search by a searching unit (Col 4, Rows 15-20, **a searching device implemented by computer to search over the internet for files**) as an electronic mail to an electronic mail address when said setting unit sets that the electronic mail notification is automatically executed (Col 5, Rows 1-15, **sending notification by email with attachment by reference only**) or when one of the first or second option displayed in said operating section is operated by a user (Col 5, Rows 45-50, **sending notification by email with attachment by reference or by value on the basis of user preference, see also Col 6, Rows 40-52**), the result of search including information

indicative of a location where the searched original electronic document data is stored (**Col 5, Rows 10-15, attachment reference 402 contains a pointer indicative of the actual location of searched file over the internet**),

wherein the searched original electronic document data file is attached to the electronic mail to be transmitted file by said transmitting unit when said setting unit sets that the searched original electronic document data file is to be attached or when the first option is operated by the user (**Col 6, Rows 40-52, attachment by value as if the attachment has been attached to the original email message for all practical effect, function, or purpose**), and

wherein no file corresponding to the searched original electronic document data file is attached to the electronic mail to be transmitted by said transmitting unit when said setting unit sets that the searched original electronic document data file is not to be attached or when the second button is operated by the user (**Col 5, Rows 1-15 and Rows 45-50, if the user opt not to view the attachment, then the actual attachment 420 is never attach to the email since reference attachment 402 is not the actual attachment 420**).

*Kuzma* suggested that electronic mails are common form of electronic interaction between users at different physical locations over a client/server network connected by internet (**Col 1, Rows 12-20**) wherein said network is use for searching and retrieval of files (**Col 4, Rows 1-28**). Therefore, it would've been obvious to one of ordinary skill in the art at the time of the invention to modify the transmitting unit of *Ramsay* to transmit notifications in the form of electronic mail and for transmission of retrieved files by attachment to electronic mail as taught by *Kuzma* whereas the motivation would've been to prevent

inefficient utilization of network bandwidth and needless consuming processing and communication resources (*Kuzma*, Col 4, Rows 49-64). Thus, it would've been obvious to combine *Ramsay* and *Kuzma* into a single teaching.

The combined teaching does not disclose the first option of attachment by value and the second option of attachment by reference is implemented in a graphical interface in the form of electronic buttons or a first button and a second button.

*Larky* discloses a graphical user interface for implementing electronic mail communication over internet (Abstract and see Fig 2D) having a first button for attaching a file to an email (Fig 2D, Attach 214C) and a second button for transmitting the email without attachment if the first button is not operated by an user (Fig 2D, Send 214B).

It would've been obvious to one of ordinary skill in the art at the time of the invention to modify the graphical user interface on the operating unit of *Kuzma* (Col 4, Rows 1-28) and thus the combined teaching in the mode of *Larky* as shown in at least Fig 2D to have an attachment button and a send button to ensure an iconic representation of physical operation to be implemented by computer that is to be shown to an user so that he/she may be able to send an email with an attachment that is either by value or by reference.

6. Claim 3 is rejected under 35 USC 103 (a) as being unpatentable over *Ramsay et al.* (US 5502576 A) in view of *Kuzma* (US 5781901 A) and *Larky et al.* (US 6970908 B1) and further in view of *Seder et al.* (US 2002/0164053 A1).

**Regarding Claim 3**, *Ramsay* discloses wherein said searching device comprises a watermarked information-sensing device (Column 8, Rows 35 through 50. This is the

**background introduction known to one ordinarily skilled in the art. It speaks of using 8-bit grayscale for document processing to “assure far greater certainty when verifying the integrity and authenticity of the electronic image” wherein 8-bit grayscale image contains background details such as watermark to verify and authenticate a document when a searching device attempts to locate a document in the server, Column 8, Rows 39 through 43. Therefore, *Ramsay* implicitly teaches that the electronic image format disclosed in the embodiment contains details such as watermark).**

While the disclosure does not explicitly teach that the Mass Storage 34 has a search device that senses watermark, but by disclosing that it is preferred to use 8 bit grayscale electronic image format that contains details such as watermark for the goal of document authentication and verification, it enables one ordinarily skilled in the art to incorporate watermark sensor into the searching device of Mass Storage 34.

Furthermore, in Paragraph [0029] of *Seder*, it is disclose an optical sensor with decoder software that reads document identifier from watermark payloads and uses that to retrieve the document.

Therefore, it would’ve been obvious to one ordinarily skilled in the art to adapt the sensor of Mass Storage 34 of *Ramsay* with the watermark sensing capability of *Seder* in order to properly retrieve the needed image document whereas the motivation to combine can be located in *Ramsay* (Col 8, Rows 40-44) “assure far greater certainty when verifying the integrity and authenticity of electronic images....”.

7. Claims 2 and 8 are rejected under 35 USC 103 (a) as being unpatentable over *Ramsay et al.* (*US 5502576 A*) in view of *Kuzma* (*US 5781901 A*) and *Larky et al.* (*US 6970908 B1*) and further in view of *Cullen et al.* (*US 5893908 A*).

The primary reference, *Ramsay* teaches the subject matters of Claim 1 from which Claims 2 and 8 are dependent upon.

However, *Ramsay* does not teach that the search device uses optical character recognition for document retrieval of Claim 2, and correspondence information indicative of priorities assigned according to degrees of correspondence of Claim 8.

**Regarding Claim 2, *Cullen* teaches wherein said searching device comprises a character recognition device (Col 7, Rows 12-37. In particular, Rows 30-37).**

Therefore, it would've been obvious to one ordinarily skilled in the art at the time of invention to modify the search device of *Ramsay* with the additional capability of character recognition of *Cullen* in order to provide "an electronic document management system may provide automatic archiving of documents and retrieval without the need to navigate through a directory structure or specify a filename." (*Cullen*, Col 1, Row 64 - Col 2, Row 6).

**Regarding Claim 8, *Cullen* teaches wherein in a case where a plurality of original electronic document files corresponding to the electronic document data within the output image information are searched out, the result of search includes correspondence information indicative of priorities assigned to the plurality of original electronic document files according to degrees of correspondence (Col 5, Rows 27-50. The system lists the search results in descending order where the document with the most descriptors matching the user's document of interest is at the top).**



Therefore, it would've been obvious to one ordinarily skilled in the art at the time of invention to adapt the method of listing search results base on matching descriptors as suggested by *Cullen* to the system of *Ramsay* in order to have "an electronic document management system that takes advantage of advanced document analysis techniques" (*Cullen*, Col 1, Rows 64-65) to facilitate the process of identifying the correct document being desire.

### *Conclusion*

8. Applicant's amendment necessitated the new grounds of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to examiner Richard Z. Zhu whose telephone number is 571-

270-1587 or examiner's supervisor King Y. Poon whose telephone number is 571-272-7440.

Examiner Richard Zhu can normally be reached on Monday through Thursday, 0630 - 1700.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

RZ<sup>2</sup>  
11/18/2008

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